



STATE OF MAINE

POLICY ON PRESERVATION OF STATE GOVERNMENT RECORDS

Effective: October 30, 2013

TO: All State Employees

Applicability: This policy applies to all employees of Maine State government, including all Executive Branch agencies, Legislative Branch, the Constitutional Offices and semi-independent agencies.

Statutory Authority: Maine State Revised Statutes, [Title 5, Chapter 6, Section 95-C](#).

Purpose: This policy establishes uniform records management practices throughout Maine State government. State government employees create and receive documents and communication in both paper and electronic format as part of their official duties; therefore, most will be considered official State records. Records retention schedules dictate how long to retain materials which are: created or received in connection with official government business; serving as evidence of the agency's functions, policies, and procedures; and/or retained because of informational or historical value. Records retention schedules apply to all media formats. Most agencies have agency-specific records retention schedules to supplement the State General Records Schedules which apply to records common to most agencies.

BASIC PRINCIPLES *of Records Management*

Agency Directors and Records Officers shall ensure all State employees (in their agency): understand they are creating public records and know the records for which they are responsible; are aware of the General Schedules and any Agency Specific Schedules; and have contact information for their agency's Records Officer.

WHY *of Records Management*

In accordance with [Title 5, Chapter 6](#) and Maine State Archives Rule [Chapter 1: State and Local Government Agency Records Programs](#), Directors and Agency Heads are responsible for establishing and maintaining an efficient and continuous records management program. Agency Directors are also responsible for appointing Agency Records Officers.

HOW *of Records Management*

Records Officers shall have knowledge of their agency and its records; the functions to create an inventory of records and retention schedules; and maintain an office file plan and keep these updated.

Actions by Employees: Every State employee shall comply with this policy by taking the following three actions:

1. Properly manage/preserve records (regardless of format) for the time required by approved retention schedules. Managers/supervisors must secure and manage the records of departing employees (particularly those records on computers) and notify Archives when executive level employees leave for potential archival record capture. (Further information is included in the training or by contacting Records Management.)

2. Review the following Schedules and Training:

- [General Records Schedules](#)
- [State Agency Schedules](#) (pertaining to their agency)
- **Minimum Standards Training:**
 - [Records Officers and RO Assistants](#), (pdf 820kb) Records Officers or Assistants review this minimum standards training to complete the policy requirements.
 - [State Employees – Records Management Basic Principles](#) (pdf 1.15mb) All other State employees (other than those taking the RO training above), review this as part of the minimum standards training for Records Management.

3. Annually sign the web-based [acknowledgement form](#) (*within 60 days of receiving notice*).

NOTE: The acknowledgement form link will be removed after six months of original posting date (11/2021).



Shenna Bellows
Secretary of State